FEB 2 5 2004

Sheet

PTO/SB/08A (08-03)

Approved for use through 07/31/2005. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

duction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. MADE 49/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known Application Number 10/706,263 Filing Date 11/12/2003 First Named Inventor John S. Laudo Art Unit 2874 **Examiner Name** Attorney Docket Number BAT 0064 PA/40078.252

			U. S. PATEN	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
	Number-Kind Code <sup>2 (f known)</sup>		Figures Appear		
JD	L		01-15-2002	Koteles et al.	
		US- 6,330,090 B1	12-11-2001	Martin et al.	
		<sup>US-</sup> 6,239,891 B1	05-29-2001	Nakama	
		<sup>US-</sup> 6,137,933	10-24-2000	Hunter et al.	
		<sup>US-</sup> 6,094,284	07-25-2000	Huber	
		<sup>US-</sup> 6,049,418	04-11-2000	Srivastava et al.	
		US- 6,049,417	04-11-2000	Srivastava et al.	
		<sup>US-</sup> 6,307,668 B1	10-23-2001	Bastien et al.	
		<sup>US-</sup> 6,122,095	09-19-2000	Fatehi	
		<sup>US-</sup> 6,111,674	08-29-2000	Bhagavatula	
		<sup>US-</sup> 6,108,471	08-22-2000	Zhang et al.	
		<sup>US-</sup> 5,933,271	08-03-1999	Waarts et al.	
,		US- 5,808,763	09-15-1998	Duck et al.	
	<u> </u>	<sup>US-</sup> 5,799,118	08-25-1998	Ogusu et al.	
		US- 5,355,237	10-11-1994	Lang et al.	
		US- 5,228,103	07-13-1993	Chen et al.	
		US- 5,206,920	04-27-1993	Cremer et al.	
		US- 5,107,359	04-21-1992	Ohuchida	
$\Psi$		US- 4,773,063	09-20-1998	Hunsperger et al	

		FORE	IGN PATENT DOCU	MENTS		
Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (if known)	MM-DD-YYYY	Appreciation of order occurrent	Or Relevant Figures Appear	T <sup>©</sup>
	<u> </u>					
	<u> </u>					

Examiner Signature	Jennile Doan	Date Considered	9/8/05

\*EXAMINER: Initial if reference odisidered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.usplo.gov">www.usplo.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

OIPE 18 2 5 20%

Sheet

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Pape work Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PADE ME for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known						
Application Number	10/706,263					
Filing Date	11/12/2003					
First Named Inventor	John S. Laudo					
Art Unit	2874					
Examiner Name						
Attorney Docket Number	BAT 0064 PA/40078.252					

U. S. PATENT DOCUMENTS **Document Number** Publication Date Name of Patentee or Pages, Columns, Lines, Where Initials\* MM-DD-YYYY Applicant of Cited Document Relevant Passages or Relevant Number-Kind Code<sup>2</sup> (# known) Figures Appear US- 4,387,955 06-14-1983 Ludman et al. JD ŪS. US-US-US-US-US-US US-US-US-US-US. US-US-US-US-US-US.

		FOREIG	N PATENT DOCU	MENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T⁵
	· ·					
					·	
•						

Examiner Signature	Jennide Down	Date Considered 9/8/05	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Sheet

3

of

3

PTO/SB/08B (08-03) Approved for use through 07/31/2006. OMB 0651-0031

BAT 0064 PA/40078.252

Under the Raperwork Reduction Act of 1995, no persons as	U.S. Pater e required to respond to a collection	nt and Trademark Office; U.S. DEPARTMENT OF COMMERCE on of information unless it contains a valid OMB control number.
Substitute for form 1449/PTO		Complete if Known
	Application Number	10/706,263
NFORMATION DISCLOSURE	Filing Date	11/12/2003
STATEMENT BY APPLICANT	First Named Inventor	John S. Laudo
'(Use as many sheets as necessary)	Art Unit	2874
	Examiner Name	

Attorney Docket Number

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
JD		WEIBIN HUANG AND RICHARD R.A. SYMS, ANALYSIS OF FOLDED ERBIUM-DOPED PLANAR WAVEGUIDE AMPLIERS BY THE METHOD OF LINES, JOURNAL OF LIGHTWAVE TECHNOLOGY, December, 1999, pgs. 2658-2664, Vol. 17, No. 12	
-			

Examiner Signature Jennifer Pour Date Considered 9/8/05	
---	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

بالإراز الوام

APR 1 5 2004 23

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Index the Paperwork Reduction Act of 1896, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/77 ADE

Sheet

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number 10/706,263

Filing Date November 12, 2003

First Named Inventor John S. Laudo

Art Unit 2874

Examiner Name J. Dan

Attorney Docket Number BAT 0064 PA/40078.252

				DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (2 known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
១ា)		<sup>US-</sup> 6,339,664	01-15-2002	Parker et al	
<u> </u>	<del> </del>	US-			
	<del> </del>	US-			
		US-			
_		US-			
		US-			
		US-			
		US-	1		
		US-			
-		US-			
		US-			
		US-			
		US-			

Examiner	Cite	FORE Foreign Patent Document	IGN PATENT DOCU		1	
	No.1	Politigh Paterti Document	Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	-
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	MM-DD-YYYY	, prison of older possible in	Or Relevant Figures Appear	1
JD		DE 42 05 750 A	8-26-1993	Siemens AG		
DD.		WO 02 37151 A	5-10-2002	Glas et al		
JD		GB 2 027 546 A	2-20-1980	Standard Telephones		
						L
	ŀ					1

			_
Examiner	0	Date / /	
Signature	Ton de wan	Considered 9/8/05	
	Jenniga	Considered   3/8/03	
*EVALUATED	1-14-1 //		_

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you-require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

APR 1 5 2004

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO			-	Complete if Known			
		-		Application Number	10/706,263		
INFORMATION DISCLOSURE			CLOSURE	Filing Date	November 12, 2003		
STATEMENT BY APPLICANT (Use as many sheets as necessary)				First Named Inventor	John S. Laudo		
				Art Unit	2874		
				Examiner Name			
Sheet	2	of	2	Attorney Docket Number	BAT 0064 PA/40078.252		

		NON PATENT LITERATURE DOCUMENTS		
Examiner Cite Initials* No.1		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
JD		POGUNTKE, K.R. ET AL: "Design of a Multistripe Array Grating Integrated Cavity (Magic) Laser" JOURNAL OF LIGHTWAVE TECHNOLOGY, IEEE, New York, U.S., Vol. 11, No. 12, 1 December 1993, pgs. 2191-2200.		
JD		ASGHARI, M. ET AL: "Demonstration of an Integrated Multichannel Grating Cavity Laser for WDM Applications", ELECTRONICS LETTERS, IEE STEVENAGE, GB, Vol. 30, No. 20, 29 September 1994, pgs. 1674-1675.		
JD		POLMAN, A.: "Exciting Erbium-doped Planar Optical Amplifier Materials", THIN FILMS FOR OPTICAL WAVEGUIDE DEVICES AND MATERIALS FOR OPTICAL LIMITING SYMPOSIA (MATERIALS RESEARCH SOCIETY SYMPOSIUM PROC. VOL. 597), Boston, MA., pgs. 3-14.		
JD		ISHII, H. ET AL: "Zero Insertion Loss Operations in Monolithically Integrated WDM Channel Selectors", IEEE PHOTONICS TECHNOLOGY LETTERS, IEEE Inc., New York, U.S., Vol. 11, No. 2, February 1999, pgs. 242-244.		
JD		PARRIAUX, O. ET AL: "Normalized Analysis for the Sensitivity Optimization of Integrated Optical Evanescent-Wave Sensors", JOURNAL OF LIGHTWAVE TECHNOLOGY, IEEE, New York, U.S., Vol. 16, No. 4, 1 April 1998, pgs. 573-582.		
IJ		WIKI, M. ET AL: "Novel Integrated Optical Sensor Based on a Grating Coupler Triplet", BIOSENSORS & BIOELECTRONICS, 15 November 1998, Elsevier, U.K., Vol. 13, No. 11, pgs. 1181-1185.		
JD		COTTIER, K. ET AL: "Thickness-modulated Waveguides for Integrated Optical Sensing", OPTICAL FIBERS AND SENSORS FOR MEDICAL APPLICATIONS II, San Jose, CA, USA, 22-23 January 2002, Vol. 4616, pgs. 53-63.		
	1	I	l	

Examiner Signature Jenister Doar Date Considered 9/8/65
---

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: